Executive Branch Personnel
Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

GRASSI III, JOSEPH J.

Principal Deputy General Counsel, Department of Housing and Urban Development

Date of Appointment: 06/25/2018

Other Federal Government Positions Held During the Preceding 12 Months:
None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ GRASSI III, JOSEPH J. [electronically signed on 10/05/2018 by GRASSI III, JOSEPH J. in Integrity.gov] - Filer received a 75 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
/s/ Allen, Lindsey, Certifying Official [electronically signed on 04/03/2019 by Allen, Lindsey in Integrity.gov]

Other review conducted by
/s/ Smith Johnson, Tiffanie R, Ethics Official [electronically signed on 02/14/2019 by Smith Johnson, Tiffanie R in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 04/03/2019

Data Revised 02/19/2019

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Prospect Mortgage LLC	McLean, Virginia	Corporation	EVP and General Counsel	1/2015	2/2017
2	Appia Advisors, LLC	Great Falls, Virginia	LLC	CEO	1/2018	6/2018

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Prospect Mortgage LLC (Single Family mortgage originator/servicer)	N/A		Salary/Bonus	$246,983
2	Prospect Mortgage LLC (Single Family mortgage originator/servicer)	N/A		Severance	$400,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Fannie Mae 401k	Washington, District of Columbia	Fannie Mae is no longer contributing.	7/1994

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Prospect Mortgage LLC	McLean, Virginia	Served as general counsel for Prospect Mortgage.

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Navy Federal Credit Union	N/A		Salary	
2	Fidelity/DFA rollover IRA (OBS Financial statement)	No			
2.1	DFA US Vector Equity PRTF Instl CL (DFVEX)	Yes	$15,001 - $50,000		None (or less than $201)
2.2	DFA US Core Equity II (DFQTX)	Yes	$15,001 - $50,000		None (or less than $201)
2.3	Dimensional Emerging Mkts Val PRTF Instl (DFEVX)	Yes	$1,001 - $15,000		None (or less than $201)
2.4	DFA Emerging Markets Small Cap (DEMSX)	Yes	$1,001 - $15,000		None (or less than $201)
2.5	DFA International Small Company Port (DFISX)	Yes	$1,001 - $15,000		None (or less than $201)
2.6	DFA Int'l Small Cap Value (DISVX)	Yes	$1,001 - $15,000		None (or less than $201)
2.7	DFA Emerging Markets Portfolio (DFEMX)	Yes	$1,001 - $15,000		None (or less than $201)
2.8	DFA US Large Cap Value PRTF Instl (DFLVX)	Yes	$15,001 - $50,000		None (or less than $201)
2.9	DFA Real Estate SEC PRTF Instl (DFREX)	Yes	$1,001 - $15,000		None (or less than $201)
2.10	DFA Short Term Government Port (DFFGX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	DFA One Year Fixed Income PRTF Instl (DFIHX)	Yes	$1,001 - $15,000		None (or less than $201)
2.12	DFA Inv't two year global fixed income (DFGFX)	Yes	$1,001 - $15,000		None (or less than $201)
2.13	DFA Five year GLBL Fixed Inc PRTF Instl (DFGBX)	Yes	$1,001 - $15,000		None (or less than $201)
3	Navy Federal 401K	No			
3.1	FIAM Blend TD 2030 S	Yes	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Harbour Capital - IRA	No			
1.1	cash	N/A	$15,001 - $50,000		None (or less than $201)
1.2	pershing government account	Yes	$50,001 - $100,000		$201 - $1,000
1.3	Alcoa/Arconic 5.9% 2/1/27...(security identifier 013817AJ0)	N/A	$1,001 - $15,000		None (or less than $201)
1.4	amazon fixed rate NT 2.6% 12/5/19 (023135ALO)	N/A	$15,001 - $50,000		None (or less than $201)
1.5	ameren Ill Sr secd nt 2.7% 9/1/22 (02361DAL4)	N/A	$1,001 - $15,000	Interest	$201 - $1,000
1.6	american express cr medium term notes 5/26/20 (0258MODT3)	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	coca cola fxd rt 3.2% 11/1/23 (191216BE9)	N/A	$1,001 - $15,000		None (or less than $201)
1.8	EMC corp mass sr nt 2.650% 6/1/20 (268648AQ5)	N/A	$1,001 - $15,000		None (or less than $201)
1.9	fedex corp sr nt 2.7% 4/15/23 (31428XAV8)	N/A	$1,001 - $15,000		None (or less than $201)
1.10	macquarie infrastructure corp fxd rt sr nt 2.875% 7/15/19 (55608BAA3)	N/A	$1,001 - $15,000		None (or less than $201)
1.11	nevada pwr co general and rfdg 7.125% 3/15/19 (641423BY3)	N/A	$1,001 - $15,000	Interest	$201 - $1,000
1.12	newell brands nt 3.150% 4/1/21 (651229AU0)	N/A	$1,001 - $15,000		None (or less than $201)
1.13	qualcomm fxd rt nt 3.0% 5/20/22 (747525AE3)	N/A	$1,001 - $15,000		None (or less than $201)
1.14	viacom inc new sr nt 2.750% 12/15/19 (92553PAY8)	N/A	$1,001 - $15,000		None (or less than $201)
1.15	wellpoint nt 3.125% 5/15/22 (94973VAX5)	N/A	$15,001 - $50,000	Interest	$201 - $1,000
1.16	allergen common (AGN)	N/A	$1,001 - $15,000		None (or less than $201)
1.17	delphi technologies plc (DLPH)	N/A	$1,001 - $15,000		None (or less than $201)
1.18	aptiv plc (APTV)	N/A	$1,001 - $15,000		None (or less than $201)
1.19	Chubb LTD common (CB)	N/A	$1,001 - $15,000		None (or less than $201)
1.20	TE Connectivity LTD reg shs (TEL)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	Orion Engineered carbons SA common (OEC)	N/A	$1,001 - $15,000		None (or less than $201)
1.22	Adobe Sys Inc common (ADBE)	N/A	$1,001 - $15,000		None (or less than $201)
1.23	Alibaba Group Hldg Sponsored Adr (BABA)	N/A	$1,001 - $15,000		None (or less than $201)
1.24	Alphabet Inc CL A (GOOGL)	N/A	$1,001 - $15,000		None (or less than $201)
1.25	Amazon (AMZN)	N/A	$15,001 - $50,000		None (or less than $201)
1.26	Andeavor common (ANDV)	N/A	$1,001 - $15,000		None (or less than $201)
1.27	Apple common (AAPL)	N/A	$1,001 - $15,000		None (or less than $201)
1.28	Arista Networks common (ANET)	N/A	$1,001 - $15,000		None (or less than $201)
1.29	Axon Enterprise common (AAXN)	N/A	$1,001 - $15,000		None (or less than $201)
1.30	Berry Global Group Inc (Bery)	N/A	$1,001 - $15,000		None (or less than $201)
1.31	Biogen Idec Inc common (BIIB)	N/A	$1,001 - $15,000		None (or less than $201)
1.32	Blackrock Inc common (BLK)	N/A	$1,001 - $15,000		None (or less than $201)
1.33	Booking Holdings Inc common (BKNG)	N/A	$1,001 - $15,000		None (or less than $201)
1.34	Broadcom inc common (AVGO)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.35	Chevron Corp New common (CVX)	N/A	$1,001 - $15,000		None (or less than $201)
1.36	Ciena Corp common new (CIEN)	N/A	$1,001 - $15,000		None (or less than $201)
1.37	Costco Wholesale Corp new common (COST)	N/A	$1,001 - $15,000		None (or less than $201)
1.38	Delta Airlines common (DAL)	N/A	$1,001 - $15,000		None (or less than $201)
1.39	Disney co common (DIS)	N/A	$1,001 - $15,000		None (or less than $201)
1.40	Dow DuPont Inc common (DWDP)	N/A	$1,001 - $15,000		None (or less than $201)
1.41	EOG Res Inc common (EOG)	N/A	$1,001 - $15,000		None (or less than $201)
1.42	Edwards Lifesciences Corp common (EW)	N/A	$1,001 - $15,000		None (or less than $201)
1.43	Exxon Mobil Corp common (XOM)	N/A	$1,001 - $15,000		None (or less than $201)
1.44	Facebook Inc class A	N/A	$1,001 - $15,000		None (or less than $201)
1.45	FedEx Corp common (FDX)	N/A	$1,001 - $15,000		None (or less than $201)
1.46	Fomento Economico Mex (FMX)	N/A	$1,001 - $15,000		None (or less than $201)
1.47	Gilead Sciences Inc (GILD)	N/A	$1,001 - $15,000		None (or less than $201)
1.48	guidewire software inc common (GWRE)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.49	HCA Healthcare Inc common (HCA)	N/A	$1,001 - $15,000		None (or less than $201)
1.50	Halliburton Co common (HAL)	N/A	$1,001 - $15,000		None (or less than $201)
1.51	Home Depot Inc common (HD)	N/A	$1,001 - $15,000		None (or less than $201)
1.52	Honeywell Intl Inc common (HON)	N/A	$1,001 - $15,000		None (or less than $201)
1.53	Hubspot Inc common (HUBS)	N/A	$1,001 - $15,000		None (or less than $201)
1.54	Insulet Corp common (PODD)	N/A	$1,001 - $15,000		None (or less than $201)
1.55	Intercontinental Exchange Inc common (ICE)	N/A	$1,001 - $15,000		None (or less than $201)
1.56	Intuit INc common (INTU)	N/A	$1,001 - $15,000		None (or less than $201)
1.57	Johnson & Johnson common (JNJ)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
1.58	LAM Research Corp (LRCX)	N/A	$1,001 - $15,000		None (or less than $201)
1.59	Lilly Eli & Co common (LLY)	N/A	$1,001 - $15,000		None (or less than $201)
1.60	McCormick & Co common non voting (MKC)	N/A	$1,001 - $15,000		None (or less than $201)
1.61	Mercadolibre Inc common (MELI)	N/A	$1,001 - $15,000		None (or less than $201)
1.62	Merck & Co Inc common (MRK)	N/A	$1,001 - $15,000		None (or less than $201)
1.63	Mohawk Industries Inc (MHK)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.64	Mondelez Intl Inc Cl A (MDLZ)	N/A	$1,001 - $15,000		None (or less than $201)
1.65	Monolithic Pwr Sys Inc common (MPWR)	N/A	$1,001 - $15,000		None (or less than $201)
1.66	Netease Inc sponsored Adr (NTES)	N/A	$1,001 - $15,000		None (or less than $201)
1.67	New Relic Inc common (NEWR)	N/A	$1,001 - $15,000		None (or less than $201)
1.68	Nextera Energy Inc common (NEE)	N/A	$1,001 - $15,000		None (or less than $201)
1.69	Nike Inc Cl B (NKE)	N/A	$1,001 - $15,000		None (or less than $201)
1.70	Northrop Grumman Corp common (NOC)	N/A	$1,001 - $15,000		None (or less than $201)
1.71	Pepsico Inc common (PEP)	N/A	$1,001 - $15,000		None (or less than $201)
1.72	Pioneer Nat Res Co common (PXD)	N/A	$1,001 - $15,000		None (or less than $201)
1.73	Roku Inc common Cl A (ROKU)	N/A	$1,001 - $15,000		None (or less than $201)
1.74	Salesforce.com in common (CRM)	N/A	$1,001 - $15,000		None (or less than $201)
1.75	SAP AE Sponsored ADR (SAP)	N/A	$1,001 - $15,000		None (or less than $201)
1.76	Schwab Charles Corp common (SCHW)	N/A	$1,001 - $15,000		None (or less than $201)
1.77	Splunk Inc common (SPLK)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.78	Stanley Black & Decker common (SWK)	N/A	$1,001 - $15,000		None (or less than $201)
1.79	TJX OS inc common (TJX)	N/A	$1,001 - $15,000		None (or less than $201)
1.80	T-Mobile US inc common (TMUS)	N/A	$1,001 - $15,000		None (or less than $201)
1.81	Take Two Interactive Software Inc common (TTWO)	N/A	$1,001 - $15,000		None (or less than $201)
1.82	Thermo Fisher Scientific Inc common (TMO)	N/A	$1,001 - $15,000		None (or less than $201)
1.83	Ultimate Software Group Inc common (ULTI)	N/A	$1,001 - $15,000		None (or less than $201)
1.84	United Technologies Corp common (UTX)	N/A	$1,001 - $15,000		None (or less than $201)
1.85	Unitedhealth Group Inc common (UNH)	N/A	$1,001 - $15,000		None (or less than $201)
1.86	Visa Inc common Cl A (V)	N/A	$1,001 - $15,000		None (or less than $201)
1.87	Waste Management Inc Del common (WM)	N/A	$1,001 - $15,000		None (or less than $201)
1.88	Westrock Co common (WRK)	N/A	$1,001 - $15,000		None (or less than $201)
1.89	XPO Logistics Inc common (XPO)	N/A	$1,001 - $15,000		None (or less than $201)
1.90	Zoetis Inc Cl A (ZTS)	N/A	$1,001 - $15,000		None (or less than $201)
1.91	Dominion Energy Jr Sub 5.25% preferred (DRUA)	N/A	$1,001 - $15,000		None (or less than $201)
1.92	Metlife Inc preferred (Met Pre)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.93	NGL Energy Partners preferred Cl B (NGL PRB)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
1.94	Nextera Energy Cap Hldgs Jr Sub 5.25% preferred (NEE PRK)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
1.95	Schwab Chalres Corp 5.95% preferred (SCHW PRD)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
1.96	Southern Co Jr Sub 6.25% preferred (SOJA)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
1.97	Crown Castle Intl Corp common reit (CCI)	Yes	$1,001 - $15,000		None (or less than $201)
1.98	Invesco actively managed ETF (PDBC)	Yes	$1,001 - $15,000		None (or less than $201)
1.99	iShares Inc MSCI Frontier 100 ETF (FM)	Yes	$1,001 - $15,000		None (or less than $201)
1.100	iShares TR Russell 1000 Value ETF (IWD)	Yes	$50,001 - $100,000		$1,001 - $2,500
1.101	iShares TR Russell 1000 Growth ETF (IWF)	Yes	$15,001 - $50,000		$201 - $1,000
1.102	iShares TR Russell 2000 Value ETF (IWN)	Yes	$1,001 - $15,000		$201 - $1,000
1.103	iShares TR Russell 2000 ETF (IWM)	Yes	$15,001 - $50,000		None (or less than $201)
1.104	iShares TR MSCI EAFE Value ETF (EFV)	Yes	$1,001 - $15,000		$201 - $1,000
1.105	iShares TR Core MSCI EAFE ETF (IEFA)	Yes	$50,001 - $100,000		$1,001 - $2,500
1.106	iShares Inc Core MSCI Emerging Mkts ETF (IEMG)	Yes	$15,001 - $50,000		$201 - $1,000
1.107	iShares TR Core MSCI Europe ETF (IEUR)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.108	Vanguard World FDS Vanguard FINLS ETF (VFH)	Yes	$15,001 - $50,000		$201 - $1,000
1.109	Vanguard Index FDS Vanguard small-cap growth ETF (VBK)	Yes	$1,001 - $15,000		None (or less than $201)
1.110	Wisdomtree TR Japan Hedged Equity FD (DXJ)	Yes	$1,001 - $15,000		$201 - $1,000
1.111	DFA International Value PRTF Instl (DFIVX)	Yes	$1,001 - $15,000		None (or less than $201)
2	Fannie Mae 401K	No			
2.1	Vanguard Intl Growth ADM	Yes	$100,001 - $250,000		$201 - $1,000
2.2	Oppenheimer Global 1	Yes	$100,001 - $250,000		$201 - $1,000
2.3	Dodge & Cox Stock	Yes	$250,001 - $500,000		$201 - $1,000
2.4	FID Contrafund Pool	Yes	$250,001 - $500,000		$201 - $1,000
2.5	Wasatch SM Cap GR IS	Yes	$100,001 - $250,000		$201 - $1,000
2.6	FID Small Cap Value	Yes	$50,001 - $100,000		$201 - $1,000
2.7	PIM High Yield Inst	Yes	$50,001 - $100,000		$201 - $1,000
2.8	Dodge & Cox Income	Yes	$100,001 - $250,000		$201 - $1,000
3	Millenial IRA (Prospect)	No			
3.1	cash	N/A	$50,001 - $100,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Morgan Stanley - Emma 529	No			
4.1	VCSP/College America	Yes	$15,001 - $50,000		None (or less than $201)
5	Morgan Stanley - Custodial Account (DC1)	No			
5.1	Toronto Dom Bk (TD)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
5.2	Walt Disney Co common	N/A	None (or less than $1,001)		None (or less than $201)
6	Morgan Stanley - Custodial account (DC2)	No			
6.1	Toronto Dom Bk (TD)	N/A	$15,001 - $50,000		None (or less than $201)
7	Dimensional Investment Advisors (fidelity statement, OBS Financial)	No			
7.1	DFA US Vector Equity PRTF Instl CL (DFVEX)	Yes	$15,001 - $50,000		None (or less than $201)
7.2	DFA US Core Equity II (DFQTX)	Yes	$15,001 - $50,000		None (or less than $201)
7.3	Dimensional Emerging Mkts Val Prtf instl (DFEVX)	Yes	$1,001 - $15,000		None (or less than $201)
7.4	DFA Emerging Markets small Cap (DEMSX)	Yes	$1,001 - $15,000		None (or less than $201)
7.5	DFA International small company port (DFISX)	Yes	$1,001 - $15,000		None (or less than $201)
7.6	DFA Int'l small cap value (DISVX)	Yes	$1,001 - $15,000		None (or less than $201)
7.7	DFA emerging markets portfolio (DFEMX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.8	DFA US large cap value prtf instl (DFLVX)	Yes	$15,001 - $50,000		None (or less than $201)
7.9	DFA real estate sec prtf instl (DFREX)	Yes	$1,001 - $15,000		None (or less than $201)
7.10	DFA international value prtf instl (DFIVX)	Yes	$1,001 - $15,000		None (or less than $201)
7.11	DFA short term government port (DFFGX)	Yes	$1,001 - $15,000		None (or less than $201)
7.12	DFA one year fixed income prtf instl (DFIHX)	Yes	$1,001 - $15,000		None (or less than $201)
7.13	DFA inv't two year global fixed income (DFGFX)	Yes	$1,001 - $15,000		None (or less than $201)
7.14	DFA five year glbl fixed inc prtf instl (DFGBX)	Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

None

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than $200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding $5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than $5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than $1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than $200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than $1,000 or (2) produced more than $200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of $5,000 or less (unless more than $200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is $0 - $200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of $1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over $10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed $10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than $390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of $156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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